

**UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF NEW YORK**

RUSTAM MUSTAFIN, Individually and on
Behalf of All Others Similarly Situated,

Plaintiff,

v.

GREENSKY, INC., DAVID ZALIK,
ROBERT PARTLOW, JOEL BABBIT,
GERALD BENJAMIN, JOHN FLYNN,
GREGG FREISHTAT, NIGEL MORRIS,
ROBERT SHEFT, GOLDMAN SACHS &
CO. LLC, J.P. MORGAN SECURITIES
LLC, MORGAN STANLEY & CO. LLC,
SUNTRUST ROBINSON HUMPHREY,
INC., MERRILL LYNCH, PIERCE,
FENNER & SMITH INC., CITIGROUP
GLOBAL MARKETS INC., CREDIT
SUISSE SECURITIES (USA) LLC,
RAYMOND JAMES & ASSOCIATES,
INC., GUGGENHEIM SECURITIES, LLC,
SANDLER O'NEILL & PARTNERS, L.P.,
AND FIFTH THIRD SECURITIES, INC.,

Defendants

Case No. 1:18-cv-11071 (PAE)

RULE 7.1 DISCLOSURE STATEMENT

Pursuant to Rule 7.1 to the Federal Rules of Civil Procedure, the undersigned counsel for defendants Goldman Sachs & Co. LLC, J.P. Morgan Securities LLC, Morgan Stanley & Co. LLC, Citigroup Global Markets Inc., Credit Suisse Securities (USA) LLC, Merrill Lynch Pierce, Fenner & Smith Inc., SunTrust Robinson Humphrey, Inc., Raymond James & Associates, Inc., Sandler O'Neill & Partners, L.P., Fifth Third Securities, Inc., and Guggenheim Securities, LLC (collectively referred to hereinafter as the "Underwriter Defendants") provides the following disclosures:

Goldman Sachs & Co. LLC

Goldman Sachs & Co. LLC is a wholly owned subsidiary of The Goldman Sachs Group, Inc. (“Group Inc.”), except for de minimis non-voting, non-participating interests held for unaffiliated broker-dealers. Group Inc. is a corporation organized under the laws of Delaware and whose shares are publicly traded on the New York Stock exchange. No other publicly held company owns more than a 10% interest in Goldman Sachs & Co. LLC.

J.P. Morgan Securities LLC

J.P. Morgan Securities LLC is a wholly owned subsidiary of J.P. Morgan Broker-Dealer Holdings Inc., which, in turn, is a wholly owned subsidiary of JPMorgan Chase & Co., a publicly held company. JPMorgan Chase & Co. has no parent corporation and no publicly held corporation owns 10% or more of JPMorgan Chase & Co.’s stock.

Morgan Stanley & Co. LLC

Morgan Stanley & Co. LLC is a limited liability company whose sole member is Morgan Stanley Domestic Holdings, Inc., a corporation wholly owned by Morgan Stanley Capital Management, LLC, a limited liability company whose sole member is Morgan Stanley. Morgan Stanley is a publicly held corporation that has no parent corporation.

Based on Securities and Exchange Commission Rules regarding beneficial ownership, Mitsubishi UFJ Financial Group, Inc. 7-1 Marunouchi 2-chome, Chiyoda-ku, Tokyo 100-8330, beneficially owns greater than 10% of Morgan Stanley’s outstanding common stock.

Citigroup Global Markets Inc.

Citigroup Global Markets Inc. (“CGMI”) is a wholly owned subsidiary of Citigroup Financial Products Inc., which, in turn, is a wholly owned subsidiary of Citigroup Global Markets Holdings Inc., which, in turn, is a wholly owned subsidiary of Citigroup Inc., a publicly traded

company. Citigroup Inc. has no parent corporation, and no publicly traded corporation owns 10% or more of its stock to the best of CGMI's knowledge.

Credit Suisse Securities (USA) LLC

Credit Suisse Securities (USA) LLC is a wholly owned subsidiary of Credit Suisse (USA), Inc., which in turn is a wholly-owned subsidiary of Credit Suisse Holdings (USA), Inc., which is owned by Credit Suisse AG (100% voting and 25.5% equity) and Credit Suisse AG, Cayman Islands Branch (74.5% equity). Credit Suisse AG is a wholly owned subsidiary of the ultimate corporate parent, Credit Suisse Group AG. No publicly held company owns 10% or more of Credit Suisse Group AG.

Merrill Lynch, Pierce, Fenner & Smith Inc.

Merrill Lynch, Pierce, Fenner & Smith Incorporated is an indirect, wholly owned subsidiary of BAC North America Holding Company, which is an indirect, wholly owned subsidiary of NB Holdings Corporation. NB Holdings Corporation is a direct, wholly owned subsidiary of Bank of America Corporation. Bank of America Corporation is a publicly traded company (NYSE: BAC). Bank of America Corporation has no parent company, and no shareholder owns more than 10% of Bank of America Corporation's shares.

SunTrust Robinson Humphrey, Inc.

SunTrust Robinson Humphrey, Inc. is a subsidiary of SunTrust Banks, Inc., a publicly held company. No publicly-held corporation owns 10% or more of SunTrust Banks, Inc. All of the subsidiaries of SunTrust Robinson Humphrey, Inc. are wholly owned and no affiliate is a publicly-held company.

Raymond James & Associates, Inc.

Raymond James & Associates, Inc. is a wholly owned subsidiary of Raymond James Financial, Inc., a publicly held corporation. No publicly held corporation owns 10% or more of the stock of Raymond James Financial, Inc.

Sandler O'Neill & Partners, L.P.

Sandler O'Neill & Partners Corp. is the sole general partner of Sandler O'Neill & Partners, L.P. Sandler O'Neill & Partners Corp. is controlled by SOP Holdings, LLC. SOP Holdings, LLC has no parent corporation and no publicly held corporation owns 10% or more of its stock.

Fifth Third Securities, Inc.

Fifth Third Securities, Inc. is wholly owned by Fifth Third Bank, which, in turn, is wholly owned by Fifth Third Financial Corporation, which, in turn, is wholly owned by Fifth Third Bancorp, a publicly traded company. T. Rowe Price owns over 10% of the shares of Fifth Third Bancorp.

Guggenheim Securities, LLC

Guggenheim Securities, LLC is indirectly wholly owned by Guggenheim Capital, LLC. Guggenheim Capital, LLC is a privately held limited liability company. Sammons Enterprises Inc., through a subsidiary, owns more than a 10% interest in Guggenheim Capital, LLC.

Dated: March 12, 2019

By: /s/ Todd G. Cosenza
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